To   Debra Hill, Program & Policy Development Branch Chief
            Motor Carrier Division (MCD)

From   Grace Rule-Ali, Audit Manager
            Information Security-Requester Audit Section
            Audits Office

Subject: International Registration Plan (IRP) Replacement Project
            Technical Requirement Review

The Audits Office has concluded the final IRP Replacement Project technical requirements review, Staggered Renewal and PRISM. In October 2006, Agreed-UponProcedures intended to provide assistance to the project management team was the basis for this consultative assignment. Our objective was to review each technical requirement, and determine if the associated test confirmed operation as intended. This engagement was not intended to make recommendations, or follow-up on unacceptable areas, but rather to report to the project on an "as is" status. Therefore, any formal action plans for remediation of unacceptable areas will be at your discretion.

On January 28,2009, we reported results on our initial review of 93 IRP Replacement Project technical requirements. This memo, and associated attachments, reports results for the subsequent 60 technical requirements related to Staggered Renewal and PRISM. We identified associated requirements using the Independent Verification and Validation (IV &V) Matrix developed by independent contractor, Craig Hollyfield.

To meet our objectives, we met with MCD IRP Project Team Manager and team members, and other associated Department personnel. We reviewed and discussed applicable testing performed to determine if technical requirements were in operation as intended. We note that original end-to-end testing was not performed as planned due to timing constraints, and our assessment did not extend to review individual trouble tickets opened to correct defects, and/or operational issues.

- Technical Requirements - acceptable   49
- Technical Requirements - unacceptable   2
  - Technical Requirements - no testing conducted 9

A general recap of these categories, and detailed matrices are attached for each requirement, however, the two unacceptable requirements include:

- **Staggered Renewal, Technical Requirement 4.3** - Allow assignment overrides for management after the transaction is complete.

  o Testing performed January 16, 2009, confirmed system does not allow management overrides, when necessary. If a manager wants to make a change the assigned staggered renewal date, a Trouble Ticket must be established which requiring extra time to correct.

- **Staggered Renewal, Technical Requirement 5.3** - Provide group mailings of the letters for bulk delivery to agents and carriers. The system prints letters and outgoing correspondence in a location outside of the operations area.

  o The mCarrier system was not designed to print and sort correspondence by registration agent or by zip code. The mCarrier system does not provide for group mailings or bulk delivery to agents.

We thank MCD IRP Project Team for their cooperation and courtesy extended to our auditor. If you have any questions or concerns, please contact Laura Lundgren at 657-6055.

GRACE RULE-ALl, Manager
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IRP Replacement Project
Staggered Renewal and PRISM
Attachments

Technical Requirement Review - Recap
   • Overall results of technical requirement review

Technical Requirement Review - Matrix
   • Details for individual technical requirement review:

   Staggered Renewal Pages 1-10
   PRISM   Pages 11-23

   Please note associated exhibits discussed in this document are not included,
   however, are available for review.

REVIEW GROUP
<u>Staggered</u>   <u>Prism</u>

Documentation/Testing Unacceptable
- o   Allow assignment overrides
- o   Provide group mailings

No Testing - Duplication
- o   Allow assignment of expiration date
- o   Include current fleet summary information

No Testing - option removed
- o   mCarrier generate an expiration date
- o   Issue USDOT number
- o   Print message on renewal package
- o   Update information on MCS-150
- o   No automatic letter

No Testing - manual in process

o Troubleshooter and Administrator Manuals **Totals**

IRP System Replacement Staggered Technical Requirements Review				
#	**The New IRP** **System ...**	**Test Scenario**	**Testing Details** Testing performed by **MCD IRP** Test Section	**Comments**

IRP System Replacement Staggered Technical Requirements Review				
Task 1	Develop a Functional System Design Specifications (FSDS) document. The FSDS must define the functionality conceptual, and detailed design of the Staggered Registration modification. The California Department of Motor Vehicles (DMV) will work with the vendor to provide necessary detail, business rules, and system limitations.	*Policy to Verify compliance*	1. The Functional System Design Specifications (FSDS), *Document Number: CADMV - 07271.FSDS-SRv* 1.1 20080710 **(Exhibit** 2), clearly defines and outlines CA DMV's Technical Requirements for the Staggered Renewal module of the mCarrier system.	**PASS** **Exhibit 2**
Task 2.1	Create three fields in mCarrier that record these choices as 1 st, 2nd, or 3rd in the record of each fleet responding to the survey.	*6A*	1. Testing performed 1/16/2009 demonstrates mCarrier's ability to provide three selectable dates to be assigned to carriers based on survey responses. 2. **Exhibit** 3 documents the three available fields.	**PASS** **Exhibit 3**

IRP System Replacement Staggered Technical Requirements Review

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
Task 2.2	Record each choice as a number, ranging from 7-18, with 7 representing July 2009 and 18 representing June 2010.	*2A*	1. Testing performed *1/16/09* demonstrates the systems ability to allow expiration dates in the future from July 2009 to June 2010. 2. Exhibit 4 documents the system's ability to allow future expiration dates to be selected by one of three choices. 3. Exhibit 4.1 verifies the methodology used for the numerical assignment of the number 7-18 and the three choices available. 4. Additionally, the number assignment of 7-18 and corresponding expiration dates are found in Exhibit 8, the information letter and attachments mailed to carriers on January 31, 2008. The *STAGGERED REGISTRATION EXPIRA nON ENROLLMENT FORM* outlines the formula used.	PASS Exhibit 4
Task 3.1	Develop a flat file so that information can be imported into a spreadsheet continuing IRP account numbers (new), fleet number, old IRP account number, carrier's name, number of vehicles in each fleet, preference 1, preference 2, and preference 3.	*1A*	1. Testing performed *1/16/09* demonstrates the flat file created that includes the required information for conversion and tracking of carrier information, as documented in Exhibit 5. 2. Note - only a sample page of each listing was provided as the files are very large and wasteful to print. 3. Exhibit 5, page 1 *CADMV Staggered Registration Survey Results* is the full flat file developed to record and assign new staggered expiration dates. Exhibit 5, pgs 2-3 are Excel spreadsheets developed from the survey results for assignment of expiration dates, based on carrier's responses.	PASS Exhibit 5

IRP System Replacement Staggered Technical Requirements Review

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
Task 3.2	Generate ad hoc reports using this flat file.	*Policy to Verify compliance*	1. Testing performed December 2008 demonstrates the system's ability to work with virtual populations and alternative scenarios. 2. Exhibit 7 documents the scenarios developed and populations tested by staff.	PASS Exhibit 7
Task 3.3	Allow staff to create virtual IRP populations and alternative scenarios	*Policy to Verify compliance*	1. Testing performed December 2008 demonstrates the system's ability to work with virtual populations and alternative scenarios. 2. Exhibit 7 documents the scenarios developed and populations tested by staff.	PASS Exhibit 7
Task 4.1	Modify mCarrier to allow staff to assign registrants to particular expiration dates, based on the carrier survey; allow new dates randomly when a choice is not recorded.	*BA-13A--- However, this function is not available*	1. Testing performed 1/16/09 demonstrates the system's ability to allow staff to assign expiration dates based on the carrier's survey response (Exhibit 8). 2. The randomly selected dates are generated by lines of code and cannot be modified after assignment unless a Trouble Ticket is called in.	PASS Exhibit 8

IRP System Replacement Staggered Technical Requirements Review

#	The New IRP System ...	Test Scenario	Testing Details	Comments
			Testing performed by **MCD IRP** Test Section	
Task 4.2	Identify those expiration dates randomly assigned versus those chosen by the carrier	*2A*	1. Testing performed *1/16/09* demonstrates the system's ability to differentiate expiration dates selected by the carrier or system assigned. 2. **Exhibit 9** documents that if a tech does not enter expiration choices in one of the three boxes the system will assign the expiration date. Note system assigned dates and the difficulty of changing if required in Task 4.1.	**PASS** **Exhibit 9**
Task 4.3	Allow assignment overrides for management after the assignment is complete	*BA-13A--- However, this function is not available*	1. Testing performed *1/16/09* demonstrates the failure of the system to allow management overrides, as needed. 2. If a manager wants to make a change to an assigned staggered renewal date, a Trouble Ticket must be called in, requiring extra time to correct. 3. **Exhibit 10** documents a sam pie of current Trouble Tickets pending for this issue.	**FAIL - Required ability not available for management.** **Exhibit 10**
Task 5.1	Build a notification process that generates letters to fleet owners regarding new expiration dates.	*Policy to Verify compliance*	1. A file was created to update mCarrier with new expiration dates **(Exhibit 11 pg 1)** *CADMV IRP staggered LOAD* DA *TA final* 20080710 *v01RSAs.* 2. Testing performed demonstrates the system's ability to produce letters to carriers informing them of their new expiration date **(Exhibit 11 pg** 2).	**PASS** **Exhibit 11** **Exhibit 11**

IRP System Replacement Staggered Technical Requirements Review

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
Task 5.2	Include current fleet summary information (including vehicles and fees) in the letter.	*Policy to Verify compliance*	1. Testing performed 1/24/09 demonstrates the system's ability to generate letters that include vehicles and fees due based on new expiration dates. 2. Exhibit 12 documents the system's ability to produce letters with vehicle and fees due information. 3. Exhibit 12, pgs 6-8 represent the Schedule A and B used by IRP Operations.	PASS Exhibit 12
Task 5.3	Provide group mailings of the letter for bulk delivery to agents and carriers	*Policy to Verify compliance*	1. The system prints letters and outgoing correspondence in a location outside of the operations area. The mCarrier system was not designed to print and sort correspondence by registration agent or by zip code. The mCarrier system does not provide for group mailings or bulk delivery to agents.	FAIL
Task 6.1	Modify mCarrier to prorate amounts due based on new expiration dates.	*30A*	1. Testing performed 1/16/09 demonstrates the system's ability to modify fees due based on new staggered expiration dates through out the planned 18 month transition (Exhibit 14). 2. All tested fees were measured against IRP Inc.'s calculations to verify accuracy. If mCarrier fee calculations differed from IRP Inc.'s an Incident was reported to CACI for correction in	PASS Exhibit 14

IRP System Replacement Staggered Technical Requirements Review

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
			calculation.	
Task 6.2	Change annual billings to reflect new requirements provided as DMV deliverables	*No change required. See FSOS sections* 4.5.2,2.5.3. 4.6.3 *Requirement change should be processed through the change management process*	1. Testing performed *1/16/09* demonstrates the system's ability to modify fees due based on new staggered expiration dates through out the planned 18 month transition **(Exhibit 14)**. 2. **Exhibit 14** documents the system's ability to calculate and populate that information to outgoing correspondence.	**PASS** **Exhibit 14**
Task 7.1	Modify cab cards and temporary operating authority issued via mCarrier based on new expiration dates.	*18A and 19A*	1. Testing performed *1/16/09* demonstrates the system's ability to modify cab cards and temporary operating authority based on new expiration dates **(Exhibit 16)**.	**PASS** **Exhibit 16**
Task 7.2	Change inventory issuance based on new expiration dates.	*16A* *No change required to inventory issuance. See FSOS sections* 4.7.2, 4.7.3 *Requirement change should be processed through the change management process*	1. Testing performed *1/26/09* demonstrates the system's ability to issue proper operating authority, based on the selected expiration date. 2. **Exhibit 17** documents the system's ability to issue differing operating authority (cab cards, plates) based on each individual carrier's expiration date.	**PASS** **Exhibit 17**

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
IRP System Replacement Staggered Technical Requirements Review				
Task 8.1	Modify mCarrier to <u>generate an expiration</u> dated based on the <u>date fees are due and</u> <u>according to provided</u> <u>business rules.</u>	*Not implemented in mCarrier. See FSDS sections 4.4.2, and 4.4.3 Requirement change should be processed through the change management process*	1. This requirement was removed by CA DMV management. 2. *Not implemented in mCarrier.　　See FSDS sections 4.4.2, and 4.4.3 Requirement change should be processed through the change management process.*	REMOVED
Task 8.2	Allow for assignment of the expiration date as outlined in Task 3.	*1A·6A*	1. There was no testing conducted for Task 8.2. The requirements outlined by Task 8.2 can be found in Exhibit D-Statement of Work - Staggered Registration document page 12 (Exhibit 19). Tasks 3.1-3.3 serve to support Task 8.2. 2. IRP Test Section Manager, Darlene Miller agreed that Requirement 8.2 is a duplicate of Tasks 3.1-3.3.	DUPLICATE REQUIREMENT Tasks 3.1-3.3 to support Task 8.2 Exhibit 5 Exhibit 19

IRP System Replacement Staggered Technical Requirements Review				
#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
Task 9.1	Construct mCarrier changes that generate annual renewal notice.	*Not required. See FSDS section 4.9.3* *Requirement change should be processed through the change management process*	1. Testing of the requirement was difficult to document, as all information is populated by a technician, and is dated for current dates. 2. The Test environment did not allow for verification and documentation of this requirement. Verification will be readily available after April 2009, when staggered renewal notices begin distribution. A sample letter is part of Exhibit 2, page 31. 3. A follow-up meeting to gather documented verification was held on 5/27/09. An annual renewal notice (Exhibit 24) contains Carrier Information Schedule A, Mileage Information Schedule B, Renewal Summary, and Vehicle Information has been provided for verification.	PASS Exhibit 24
Task 9.2	Ensure notification to carriers at least 60 days prior to the due date.	*Policy to Verify compliance*	1. Testing of the requirement was difficult to document, as all information is populated by a technician, and is dated for current dates. 2. The Test environment did not allow for verification and documentation of this requirement. Verification will be readily available after April 2009, when staggered renewal notices begin distribution. A sample letter is part of Exhibit 2, page 31.	PASS

IRP System Replacement Staggered Technical Requirements Review				
#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
			3. A follow-up meeting to gather documented verification was held on 5/27/09. Print screens (Exhibit 25) for test account and production account showed renewal notification with the mailed date prior the expiration date.	Exhibit 25
Task 9.3	Modify record to reflect date the notice was mailed.	*20A and 21A*	1. Testing performed 1/20/09 demonstrates the system's ability to reflect the date notice is mailed. Exhibit 22 demonstrates the system's ability to modify a carrier's record to reflect the date notice mailed.	PASS Exhibit 22
Task 9.4	Include current fleet summary information (including vehicles and fees).	*Not required. See FSDS section 4.6.3 Requirement change should be processed through the change management process*	1. Testing performed 1/24/09 demonstrates the system's ability to generate letters that include vehicles and fees due based on new expiration dates. 2. Exhibit 12 documents the system's ability to produce letters with vehicle and fees due information. Task 5.2 supports and meets this requirement. 3. IRP Test Section Manager, Darlene Miller agreed that Requirement 9.4 is a duplicate of Tasks 5.2	DUPLICATE Task 5.2 supports Task 9.4 Exhibit 12
Task 10	Revise User, Administrator, and Trouble Shooter Guides for Staggered Registration based on Tasks 1-8.	*Policy to Verify compliance*	1. Exhibit 23 documents the updated Trouble Shooter Guide for the mCarrier system. The User and Administrative manuals will not be updated until the PRISM module is put into production, schedule for March-April 2009. 2. Exhibit 23.1 documents the updated IRP User Manual for the mCarrier.	NO TESTING-Incomplete Exhibit 23 Exhibit 23.1

IRP System Replacement Staggered Technical Requirements Review				
#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
			3. Manual is incomplete. However, MCD anticipates completion by the end of the year for the updated Administrative Manual.	

IRP System Replacement PRISM Technical Requirements Review				
#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
Task 1	Develop a Functional System Design Specifications (FSDS) document outlining work to be completed for tasks 2-36. The FSDS must define the functionality, conceptual, and detailed design of the PRISM system. This document must be defined by both the vendor and the California Department of Motor Vehicles (DMV) to provide the necessary detail, business rules, and *lor* system limitations.	None	1. Final Version of the Functional System Design Specification (Exhibit 1) has been created for tasks 2-36.	PASS Exhibit 1
Task 2	Establish an interface with Motor Carrier Management Information System (MCMIS).	Script 2	1. Testing performed on *8/25/09* demonstrated a MCMIS link has been created for user to click and direct to the page of Safety And Fitness Electronic Records Systems (Exhibit 2).	PASS Exhibit 2
Task 3	Modify mCarrier to identify, collect, and maintain the United	Script 3	1. Testing performed on *8/25/09* demonstrated the mCarrier ability to identify, collect, and maintain USDOT and TIN fields for the registrant and motor	PASS

IRP System Replacement PRISM Technical Requirements Review

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
	States Department of Transportation (USDOT) Number and the Taxpayers Identification Number (TIN) for the registrant and motor carrier responsible for the safe operation of each vehicle being registered.		carrier. 2. Exhibit 3 documents print screens for the registrant and motor carrier with USDOT and TIN fields for the users to input the numbers.	Exhibit 3
Task 4	Modify mCarrier when entering the USDOT Number to be able to enter the TIN and have program validate correctness with the CVIEW(California specific level of part of Commercial Vehicle Information Systems and Networks) file at the registrant level and at the vehicle level. Allow the system to provide a response with the data entered compared to the data obtained from the validation file.	Script 4	1. Testing performed on 8/25/09 demonstrated mCarrier verified the input USDOT number and TIN against the data obtained from the validation file. 2. Exhibit 4 documents print screens for mCarrier denying further action because of USDOT number and TIN do not match the data obtained from the validation file.	PASS Exhibit 4

IRP System Replacement PRISM Technical Requirements Review

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
Task 5	Access the MCMIS Database and make an inquiry to validate the USDOT Number for those occasions when no match occurs.	Script 5	1. Testing performed on 8/25/09 demonstrated the user could click the MCMIS link to direct to the SAFER website to search for a valid USDOT number. 2. Exhibit 5 documents print screens for user to search for a valid USDOT number.	PASS Exhibit 5
Task 6	Modify mCarrier files to store the (Y-N) indicator of whether the carrier responsible for the safety of the vehicle is expected to change.	Script 6	1. Testing performed on 8/25/09 demonstrated a checkbox has been created for the safety of the vehicle is expected to change. 2. Exhibit 6 documents print screens with the checkbox of Safety Chang Ind: box for user to check and uncheck.	PASS Exhibit 6
Task 7	a. Modify the screen formats to capture the USDOT Number and the TIN at the vehicle and registrant levels, so that the correctness of the USDOT Number with the TIN number for the file selected is validated. b. The indicator (Y-N) of whether the carrier responsible	Script 7	1. Testing performed on 8/25/09 demonstrated USDOT number and TIN were captured at the vehicle and registrant levels. The USDOT number and TIN must matched the database before continue register. 2. Exhibit 7.1 documents print screens at the vehicle and registrant levels with non match USDOT number and TIN. 3. Testing performed on 8/25/09 demonstrated a checked box has been created for the safety of the vehicle is expected to change. 4. Exhibit 7.2 documents print screens with the Safety Change Ind: check box.	PASS Exhibit 7.1 PASS Exhibit 7.2

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
	for the safety of the vehicle is expected to change during the registration period.			
Task 8	Modify mCarrier files to store IRP registration denial if the required USDOT or TIN is not provided and automatically generate customer letter outlining additional requirements.	Script 8	1. Testing performed on 8/25/09 demonstrated mCarrier stored denial for IRP registration. Automatic rejection letter would be created and sent out to the customer with denial IRP registration. 2. Exhibit 8 documents print screens for the All Deny Registration screen, the Rejection Letter menu, and the Rejection letter.	PASS Exhibit 8
Task 9	Bar code and print the motor carrier information (USDOT Number, Name & Classification and address at vehicle level) on the cab card if the motor carrier responsible for the safety of the vehicle is not expected to change during the registration year.	Script 9	1. Testing performed on 8/25/09 demonstrated a unique bar code and motor carrier information was printed on the cab card. 2. Exhibit 9 documents print screens for the cab card and bar code.	PASS Exhibit 9
Task 10	Insure that the system has the ability to randomly test barcode	Script 10	1. Testing performed on 8/25/09 demonstrated different bar codes were assigned to different cab cards.	PASS

IRP System Replacement PRISM Technical Requirements Review

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
	programming and printing to ensure accuracy of the information in the barcode.		2. Exhibit 10 documents print screens of two different bar codes for the cab cards.	Exhibit 10
Task 11	Insure that the system will validate the USDOT Number before adding any USDOT Number to the mCarrier.	Script 11	1. Testing performed on *8/25/09* demonstrated the system would validate and match the USDOT number and TIN before adding additional information to the mCarrier. 2. Exhibit 11 documents print screens for denial on non matching USDOT number adding to the mCarrier.	PASS Exhibit 11
Task 12	Coordinate with FMCSA and establish Internet access to the MCMIS Census File for users to make an internet inquiry when an inquiry to the selected validation file returns a "no-hit" after all information has been checked and to issue a USDOT Number.	Script 3 and 11	1. Testing performed on *8/25/09* demonstrated a link for MCMIS has been created to direct the user to Federal Motor Carrier Safety Administration website. DMV would send a letter to instruct the users to file for their own USDOT number if they did not have a valid USDOT number. 2. Exhibit 12 documents print screens for MCMIS link and FMCSA website.	PASS Exhibit 12
Task 13	Establish standardized procedures and capacity for DMV staff to issue	None	1. The users at DMV will not issue a USDOT number for the carrier. They will send a letter instructing the carrier to file for their own USDOT number; therefore, procedures were not needed on issuing USDOT numbers. (Exhibit 13)	NO TESTING - Requirement Removed by CADMV Exhibit 13

#	the New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
	USDOT Numbers by online access to the MCMIS Database.			
Task 14	Incorporate Performance and Registration Information Systems Management (PRISM) requirements in the temporary authority processes.	Script 14	1. Testing performed on 8/25/09 demonstrated PRISM was able to produce the Temporary Registration Authorization(TPA). The TPA included issued date, effective date, and expiration date. The issued date was the date which TPA was created. The effective date was the date which TPA could be used. The expiration date was the date the TPA expired. 2. Exhibit 14 documents print screens of the print out of the TPA.	PASS Exhibit 14
Task 15	Develop program(s) to support inquiry capability for targeted carriers and vehicles by USDOT Number, Plate Number, and VIN for Law Enforcement by local inquiry to CVIEW.	Script 15	1. Testing performed on 8/25/09 demonstrated the law enforcement can generate Targeted Motor Carriers Report. 2. Exhibit 15 documents print screens of the request page of the Targeted Motor Carriers Report. 3. Exhibit 15.1 documents the Targeted Motor Carriers Reports.	PASS Exhibit 15 Exhibit 15.1
Task 16	Automatically issue a Sate Suspension Notice for all vehicles assigned to motor carriers that have been prohibited by a federal agency from	Script 16	1. Testing performed on 8/25/09 demonstrated DMV employee would daily submit a request to the system and the system would automatically send out the Suspension letters to the carrier or registrant. 2. Exhibit 16 documents print screens for the request menu for the Prism Suspension Letters Information and the Suspension Notice.	PASS Exhibit 16

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
	conducting interstate operations. Include the carrier or registrant name, address, and USDOT Number.			
Task 17	Insure that the suspension in Task 16 remains in effect even if the carrier changes their name and/or USDOT number to avoid sanctions.	Script 16	1. Testing performed on 8/25/09 demonstrated a suspended vehicle could not be added to another USDOT number until the suspension is reinstated. 2. Exhibit 17 documents print screens for suspended vehicle could not be added to another USDOT number.	PASS Exhibit 17
Task 18	Develop programs to automatically check the VIN of every vehicle for safety status without operator intervention on registration or renewal transactions. Ensure that the carrier responsible for safety of every vehicle does not have (1) an order prohibiting interstate operations or (2) a registration suspension/revocati on from another	Script 18	1. Testing performed on 8/25/09 demonstrated the program would not allow registration or renewal process if the carrier or vehicle has outstanding issues include State Registration Suspension(MCSIP) in Effect, Carrier-OOS: Failure to Pay, and Provided USDOT is not active - Access MCMIS website to search for USDOT. 2. Exhibit 18 documents print screens for denied process of registration or renewal due to outstanding issues.	PASS Exhibit 18

IRP System Replacement PRISM Technical Requirements Review

IRP System Replacement PRISM Technical Requirements Review

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by **MCD IRP** Test Section	Comments
	state in force. If so, issue no credentials and deny registration. Include possibility of future Out-of-Service codes.			
Task 19	Develop program(s) that will perform a VIN inquiry and check the Carrier Safety Status for the USDOT Number associated with each vehicle being registered for new accounts and adding vehicles on established accounts.	Script 19	1. Testing performed on 8/25/09 demonstrated the program was able to validate the status of the USDOT number for each vehicle. Outstanding issues included Provided USDOT is a Registrant Only Carrier, Provided US DOT is not active, MCS150 Census Information Must be Updated, Provided USDOT and TIN do not match, Carrier-OOS: Failure to Pay, and State Registration Suspension (MCSIP) in Effect would not allow adding vehicles to new or established accounts. 2. **Exhibit** 19 documents print screens for different denial reasons for adding vehicles to new or established accounts.	**PASS** **Exhibit 19**
Task 20	Allow operator to override the Out-of-Service suspension with approval.	Script 20	1. Testing performed on 8/25/09 demonstrated a Prism Override check box has been created for the operator. When the operator did not have the authority to override, the check box would be grey out, and the operator could not override the process. 2. **Exhibit 20** documents print screen for the PRISM Override check box.	**PASS** **Exhibit 20**
Task 21	Capture denial, MCSIP step, and date of action.	Script 21	1. Testing performed on 8/25/09 demonstrated the program successfully captured any deny registration. 2. **Exhibit 21** documents print screen for different	**PASS** **Exhibit 21**

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
		IRP System Replacement PRISM Technical Requirements Review		
			detail levels of the records of any Deny Registration.	
Task 22	Develop program(s) to interface the match information onto the fields for capturing the denials, suspensions, and/or revocations on a daily basis and summarize by category on a monthly basis for reporting to FMCSA on the Quarterly Summary Report.	Script 22	1. Testing performed on 8/25/09 demonstrated the program could produce daily, monthly, quarterly, or yearly DMV Denials and Suspensions reports for DMVoperators. 2. Exhibit 22 documents print screens for the request report menu for the DMV Denials and Suspensions reports. 3. Exhibit 22.1 documents the DMV Denials and Suspensions (MCSIP Step) reports.	PASS Exhibit 22 Exhibit 22.1
Task 23	Develop program(s) to report denials, suspensions, and revocations on a daily basis. Summarize on a monthly basis.	Script 23	1. Testing performed on 8/25/09 demonstrated the program could produce daily, monthly, quarterly, or yearly DMV Denials and Suspensions reports for DMVoperators. 2. Exhibit 23 documents print screens for the request report menu for the DMV Denials and Suspensions reports. 3. See Exhibit 22.1 for the DMV Denials and Suspensions (MCSIP Step) reports.	PASS Exhibit 23 Exhibit 22.1
Task 24	Develop program(s) to enter/update the critical information from the MCS-150 and MCS-150A form at both the registrant	None	1. Any critical information was not allow to enter or update on the MCS-150 or MCS-150A form. (Exhibit 24)	NO TESTING - Requirement Removed by CADMV Exhibit 24

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
			IRP System Replacement PRISM Technical Requirements Review	
	and vehicle levels.			
Task 25	Develop program(s) to retrieve vehicle and registration information activity from the state registration files since the last data transfer and send the IRP vehicle transaction to SAFER on a daily basis.	Script 25	1. Testing performed on 8/25/09 demonstrated procedure for retrieving information and sending the information to SAFER has been created to run daily after 3:00 AM. 2. Exhibit 25 documents the procedures and daily Snapshot update for task 25.	PASS Exhibit 25
Task 26	When the MCS-150 and/or MCS-150A date has expired, print a message on the renewal package and include a MCS-150 or MCS-150A.	Script 26	1. Management is still in discussion on removing this task as of 8/25/09. 2. Exhibit 26 documents the em ail for approval to remove this requirement.	NO TESTING - Requirement Removed by CADMV Exhibit 26
Task 27	Update the PRISM Target File nightly with registration information for vehicles assigned to motor carriers in Motor Carrier Safety Improvement Process.	Script 2	1. Testing performed on 8/25/09 demonstrated procedure for retrieving information and sending the information to SAFER has been created to run daily after 3:00 AM. 2. Exhibit 27 documents the procedures and daily Snapshot update for task 27.	PASS Exhibit 27
Task 28	Ensure that the system will print a	Script 28	1 . Testing performed on 8/25/09 demonstrated the program could produce DMV Denials and	PASS

IRP System Replacement PRISM Technical Requirements Review

#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
	report of Out-of-State carriers that may be requested on-demand.		Suspensions Report. 2. Exhibit 28 documents print screen of the report menu. 3. See Exhibit 22.1 for the DMV Denials and Suspensions (MCSIP Step) reports.	Exhibit 28 Exhibit 22.1
Task 29	Provide the ability to query and print registration files by USDOT Number of the registrant and motor carrier responsible for safety in order to obtain registration record details.	Script 29	1. Testing performed on 8/25/09 demonstrated the program could produce Carrier Responsible for Safety and CA Vehicle Registrations Across IRP Accounts reports by USDOT number. 2. Exhibit 29 documents print screen of the report menu. 3. Exhibit 29.1 documents Carrier Responsible for Safety reports and Registrants of the Fleet reports.	PASS Exhibit 29 Exhibit 29.1
Task 30	Provide inquiry to assist FMCSA find correct addresses of motor carriers.	Script 30	1. Testing performed on 8/25/09 demonstrated the program could produce a report with business address for the carrier and registrant. 2. Exhibit 30 documents print screens of the report with the business addresses.	PASS Exhibit 30
Task 31	Develop an on-demand report for DMV/Law Enforcement that lists vehicle and registration data for vehicles assigned to a specific carrier.	Script 22 & 29	1. Testing performed on 8/25/09 demonstrated by inputting the USDOT number box under the Registrant of a Fleet and CA Vehicle Registrations menu, DMV/Law Enforcement were able to all the information under a specific carrier. 2. Exhibit 31 documents print screen of Report list of the Registrant of a Fleet and CA Vehicle Registrations.	PASS Exhibit 31

			IRP System Replacement PRISM Technical Requirements Review	
#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
			3. See Exhibit 29.1 for Carrier Responsible for Safety reports and Registrants of the Fleet reports.	Exhibit 29.1
Task 32	Develop programs for both registration and law enforcement personnel to make inquiries to DMV registration files by USDOT Number on both the registrant and the motor carrier responsible for safety levels	Script 32	1. Testing performed on 8/25/09 demonstrated the program could produce reports for Registrant of a Fleet and CA Vehicle Registrations for registrant and Carrier Responsible for Safety and CA Vehicle Registrations Across IRP Accounts for law enforcement by inputting USDOT number. 2. Exhibit 32 documents print screens of the inquiries menu for each report. 3. See Exhibit 29.1 for Carrier Responsible for Safety reports and Registrants of the Fleet reports.	PASS Exhibit 32 Exhibit 29.1
Task 33	Develop notification letters to owners and registrants of vehicles assigned to carriers facing a potential order to discontinue interstate operations.	Script 33	1. No automated letter for carriers facing a potential order to discontinue interstate operations. DMV would do a manual processes to send out letters. (Exhibit 33)	NO TESTING - Requirement Removed by CADMV Exhibit 33
Task 34	Develop a report to extract the VIN of all the vehicles assigned to a motor carrier against the VR database to identify the name, classification, and address of the vehicle owner(s) for	Script 34	1. Testing performed on 8/25/09 demonstrated the program could produce Targeted Motor Carriers Report by inputting USDOT number, Plate Number, orVIN. 2. Exhibit 34 documents print screen of the Targeted Motor Carriers Report menu. 3. See Exhibit 15.1 for the Targeted Motor Carriers Reports.	PASS Exhibit 34 Exhibit 15.1

**IRP System Replacement PRISM Technical Requirements Review**			
#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
	vehicles assigned to a motor carrier facing a possible Federal Out-of-service order.			
Task 35	Customize PRISM training course. Include the steps necessary to ensure that the knowledge, skills, and abilities to operate the PRISM system. Include training objectives, training timeframes, and the methodology to be used to evaluate the effectiveness of the training. Include assistance in developing database inquiries that return PRISM-specific database information. This task will also include updates to the user, troubleshooter and adm inistrator manual with PRISM modifications.	Script 35	1. The PRISM team provided audit office the Audit Manual, Training powerpoint, and the index of the User Manual. Manual is incomplete. However, MCD anticipates completion by the end of the year for the updated Troubleshooter and Administrator Manual. 2. Exhibit 35 documents the Audit Manual, Training powerpoint, and the index of the User Manual.	NO TESTING-Incomplete Exhibit 35
Task 36	Contact the SAFER Help Desk to	Script 36	1 . Testing performed on 8/25/09 demonstrated a daily FMCSA certification letter was sent to Judy Foster in	PASS

	IRP System Replacement PRISM Technical Requirements Review			
#	The New IRP System ...	Test Scenario	Testing Details Testing performed by MCD IRP Test Section	Comments
	arrange for distribution of the CVIEW Database and arrange for updates to the CVIEW Database.		order for DMV to download and upload files. 2. Exhibit 36 documents the certification letter.	Exhibit 36